



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Casey Campbell et al.

Serial No.: Not Yet Assigned

Group Art Unit: Not Yet Assigned

Filed: Herewith

Examiner: Not Yet Assigned

Title: METHOD AND APPARATUS FOR COUNTERPARTY COMMUNICATIONS
AND BROKERING TRANSACTIONS

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Date of Deposit: March 13, 2001

I hereby certify that this paper is being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Box Patent Application, Commissioner for Patents, Washington, DC 20231



Signature (Ta-Tanisha L. Moore)

* * *

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents and Trademarks
Washington, DC 20231

Dear Sir:

Pursuant to 37 CFR §1.56(a), Applicant hereby cites the following documents (copies enclosed) listed on the attached copy of Form PTO-1449.

This Information Disclosure Statement is filed in accordance with the paragraph of 37 CFR §1.97 checked below:

☒ 1.97 (a) This Information Disclosure Statement accompanies the new patent application submitted herewith.

☐ 1.97 (b) This Information Disclosure Statement is filed:

☐ (1) Within three months of the filing date of a national application; OR

☐ (2) Within three months of the date of entry of the national stage of an international application; OR

☐ (3) Before the mailing of a first Office Action on the merits.

No fee or certification is required.

☐ 1.97(c) This Information Disclosure Statement is filed after the period specified in paragraph (b) above, but before the mailing date of either:

☐ (1) A Final Action under 37 CFR 1.113; OR

☐ (2) A Notice of Allowance under 37 CFR 1.311; AND is accompanied by either:

(check one)

☐ the Certification -under 37 CFR 1.97(e) as set out below, OR

☐ the fee of \$220.00 under 37 CFR 1.17(p).

☐ 1.97(d) This Information Disclosure Statement is filed after the mailing date of either:

☐ (1) a Final action under 37 CFR 1.113; OR

☐ (2) A Notice of Allowance under 37 CFR 1.311; BUT before payment of the Issue Fee, AND is accompanied by:

☐ (3) the Certification under 37 CFR 1.97(e) as set out below; AND

☐ (4) Petition is hereby made under 37 CFR 1.97(d) for consideration of this Information Disclosure Statement; AND],

☐ (5) Authorization to charge the petition fee of \$ 1,210.00 as set out in 37 CFR 1.17(i).

If this Information Disclosure Statement is being filed under 37 CFR 1.97(c) or 1.97(d), the undersigned Attorney hereby certifies that:

☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing date of this Statement;

or

☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, or to the knowledge of the undersigned Attorney after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing date of this Statement.

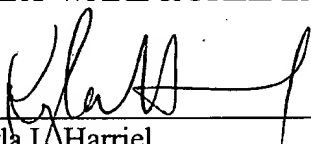
Authorization is hereby given to charge the indicated fee(s) to Deposit Account No. 07- 1896. A duplicate copy of this transmittal letter is attached.

Respectfully submitted,

GRAY CARY WARE & FREIDENRICH

Dated: 3/13/01

By



Kyla L. Harriel
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Attorney for Assignee

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Form PTO-1449 (modified 2/91)	U.S. DEPT OF COMMERCE Patent and Trademark Office	Attorney Docket Number: 2102716-900101	Serial Number: New
INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)		Applicant: Casey Campbell et al.	
		Filing date: Herewith	
		Group art area: Not Yet Assigned	

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09/805232
03/13/01

U.S. PATENT DOCUMENTS

Examiner Initial	Patent No.	Date	Name	Class	Sub-class	Filing date if appropriate
	6,014,644 ✓	01/11/00	Erickson	705	37	11/22/96
	5,940,812 ✓	08/17/99	Tengel et al.	705	38	08/19/97
	4,903,201 ✓	02/20/90	Wagner	364	408	11/03/83
	5,077,665 ✓	12/31/91	Silverman	364	408	05/25/89
	5,136,501 ✓	08/04/92	Silverman et al.	364	408	05/26/89
	5,168,446 ✓	12/01/92	Wiseman	364	408	05/23/89
	5,500,793 ✓	03/19/96	Deming, Jr. et al.	364	401	09/02/93
	5,664,115 ✓	09/02/97	Fraser	705	37	06/07/95
	5,689,652 ✓	11/18/97	Lupien et al.	395	237	04/27/95
	5,715,402 ✓	02/03/98	Popolo	395	237	11/09/95
	5,717,989 ✓	02/10/98	Tozzoli et al.	705	37	10/13/94
	5,724,524 ✓	03/03/98	Hunt et al.	395	237	12/15/95
	5,727,165 ✓	03/10/98	Ordish et al.	395	237	12/27/94
	5,832,462 ✓	11/03/98	Midorikawa et al.	705	35	03/01/94
	5,845,266 ✓	12/01/98	Lupien et al.	705	37	12/12/95
	5,873,071 ✓	02/16/99	Ferstenberg et al.	705	37	05/15/97
	5,901,287 ✓	05/04/99	Bull et al.	395	200.48	07/24/96
	5,924,082 ✓	07/13/99	Silverman et al.	705	37	06/07/95
	5,924,083 ✓	07/13/99	Sliverman et al.	705	37	05/29/96
	5,950,177 ✓	09/07/99	Lupien et al.	705	37	07/15/97
	5,963,923 ✓	10/05/99	Garber	705	37	06/03/97

FOREIGN PATENT DOCUMENTS

Document number	Date	Country	Class	Sub-class	Translation

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

Examiner:	Date Considered:
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP '609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.	

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U.S. PATENT DOCUMENTS

Examiner Initial	Patent No.	Date	Name	Class	Sub-class	Filing date if appropriate
	5,970,470 ✓	10/19/99	Walker et al.	705	14	07/08/97
	5,995,943 ✓	11/30/99	Bull et al.	705	14	01/23/97
	5,996,006 ✓	11/30/99	Speicher	709	218	02/12/97
	6,006,191 ✓	12/21/99	DiRienzo	705	2	05/12/97
	6,012,046 ✓	01/04/00	Lupien et al.	705	37	10/16/97
	6,020,810 ✓	02/01/00	Har-Even	340	328	10/22/98

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